

# UTILITY PATENT APPLICATION 'TRANSMITTAL

Attorney Docket No.

P25215

Total Pages

**Inventor(s) or Application Identifier**  
**Shin TANIKAWA and Mao YAMASHITA**

Title: METHOD FOR PREPARING POLYPRENYL COMPOUNDS

ADDRESS TO:

**Commissioner for Patents  
Mail Stop Patent Application  
PO Box 1450  
Alexandria, VA 22313-1450**

## APPLICATION ELEMENTS

### ACCOMPANYING APPLICATION PARTS

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  - a. ☐ Small Entity Statement(s)
3. ☒ Specification [Total Pages 14]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 USC 113) [Total Sheets     ]
5. ☒ Oath or Declaration [Total Pages 3]
  - a. ☐ Newly executed (original or copy) ☒ Unexecuted
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 20 completed)  
[Note Box 6 below]
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Incorporation By Reference (useable if Box 5b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
7. ☐ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)

9. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
12. ☐ English Translation Document (if applicable)
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
14. ☐ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
16. ☐ Figure of Drawing to be published \_\_\_\_
17. ☒ Foreign priority claimed
- a. ☒ Claim of Priority
- b. ☒ Certified Copy of Priority Document(s)
18. ☐ Nonpublication Request under 35 U.S.C. 122 (b) (2) (B) (i).  
Applicant must attach form PTO/SB/35 or its equivalent.
19. ☒ Assignee: NIKKEN CHEMICALS CO., LTD., of Tokyo, Japan
20. ☒ Other: Cover Letter Under 37 C.F.R. 1.53(b) and 1.53(f)

21. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP) of prior Application No. \_\_\_\_\_ filed \_\_\_\_\_  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

Address all future correspondence to **Customer No. 7055** at the present address of:

**GREENBLUM & BERNSTEIN, P.L.C.**  
1950 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

Date \_\_\_\_\_

Signature \_\_\_\_\_

Bruce H. Bernstein, Reg. No. 29,027  
Typed or Printed Name

041604

P25215.P02

13281 U.S. PTO

## FEE TRANSMITTAL

## Complete if Known

TOTAL AMOUNT OF PAYMENT (\$) <u>770.00</u>		Application Number		Not Yet Assigned
		Filing Date		Concurrently Herewith
		First Named Inventor		Shin TANIKAWA et al.
		Group Art Unit		Unassigned
		Examiner Name		Unassigned
		Attorney Docket Number		P25215

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																																					
1. <input checked="" type="checkbox"/> The U.S. Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number <u>19-0089</u> Deposit Account Name <u>GREENBLUM &amp; BERNSTEIN, P.L.C.</u> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3)) <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) <input type="checkbox"/> Applicant Claims Small Entity Status See 37 CFR 1.27.		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>1051</td> <td>130</td> <td>2051</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>1052</td> <td>50</td> <td>2052</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet.</td> <td></td> </tr> <tr> <td>1053</td> <td>130</td> <td>1053</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>1812</td> <td>2,520</td> <td>1812</td> <td>2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>1804</td> <td>920*</td> <td>1804</td> <td>920*</td> <td>Requesting publication of SIR</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td>Prior to Examiner action</td> <td></td> </tr> <tr> <td>1805</td> <td>1,840*</td> <td>1805</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>1251</td> <td>110</td> <td>2251</td> <td>55</td> <td>Extension for response within 1st month</td> <td></td> </tr> <tr> <td>1252</td> <td>420</td> <td>2252</td> <td>210</td> <td>Extension for response within 2nd month</td> <td></td> </tr> <tr> <td>1253</td> <td>950</td> <td>2253</td> <td>475</td> <td>Extension for response within 3rd month</td> <td></td> </tr> <tr> <td>1254</td> <td>1,480</td> <td>2254</td> <td>740</td> <td>Extension for response within 4th month</td> <td></td> </tr> <tr> <td>1255</td> <td>2,010</td> <td>2255</td> <td>1,005</td> <td>Extension for response within 5th month</td> <td></td> </tr> <tr> <td>1401</td> <td>330</td> <td>2401</td> <td>165</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>1402</td> <td>330</td> <td>2402</td> <td>165</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>1403</td> <td>290</td> <td>2403</td> <td>145</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>1451</td> <td>1,510</td> <td>1451</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>1452</td> <td>110</td> <td>2452</td> <td>55</td> <td>Petition to revive unavoidably abandoned application</td> <td></td> </tr> <tr> <td>1453</td> <td>1,330</td> <td>2453</td> <td>665</td> <td>Petition to revive unintentionally abandoned application</td> <td></td> </tr> <tr> <td>1501</td> <td>1,330</td> <td>2501</td> <td>665</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>1502</td> <td>480</td> <td>2502</td> <td>240</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>1503</td> <td>640</td> <td>2503</td> <td>320</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>1460</td> <td>130</td> <td>1460</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>1807</td> <td>50</td> <td>1807</td> <td>50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>1806</td> <td>180</td> <td>1806</td> <td>180</td> <td>Submission of IDS</td> <td></td> </tr> <tr> <td>8021</td> <td>40</td> <td>8021</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>1809</td> <td>770</td> <td>2809</td> <td>385</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>1810</td> <td>770</td> <td>2810</td> <td>385</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td>1801</td> <td>770</td> <td>2801</td> <td>385</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>1802</td> <td>900</td> <td>1802</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="2"></td> <td colspan="2">Other fee (specify) _____</td> </tr> <tr> <td colspan="2"></td> <td colspan="2">Other fee (specify) _____</td> </tr> <tr> <td colspan="2"></td> <td colspan="2">SUBTOTAL (3) (\$) <u>0.00</u></td> </tr> <tr> <td colspan="2"></td> <td colspan="2">*Reduced by Basic Filing Fee paid</td> </tr> </tbody> </table>		Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	1051	130	2051	65	Surcharge - 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SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Bruce H. Bernstein	Reg. Number	29,027
Signature	<i>Bruce H. Bernstein</i>	Date	4/16/04
	33,329	Deposit Account User ID	

P25215

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Shin TANIKAWA et al.

Serial No : Not Yet Assigned

Filed : Concurrently Herewith

For : METHOD FOR PREPARING POLYPRENYL COMPOUNDS

**COVER LETTER ACCOMPANYING U.S. PATENT APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b) and 1.53(f)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Enclosed is a new patent application for filing in the U.S. Patent and Trademark Office under 37 C.F.R. 1.53(b) and 1.53(f) in which the Declaration and Power of Attorney attached thereto are in unexecuted form. A properly executed Declaration and Power of Attorney will be filed within the time period set forth in the Notice to File Missing Parts of Application, unless such time period has been extended by the filing of a petition accompanied by the extension fee under the provisions of 37 C.F.R. 1.136(a).

Related to the above, this application should be associated with Customer Number 7055, which includes the present correspondence address as follows:

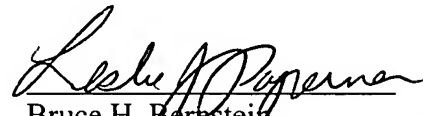
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191

The above-identified application includes:

- 14 pages of specification with abstract.
- 14 total claims and 2 independent.
- an unexecuted Declaration and Power of Attorney.

If there are any questions, please contact the undersigned at the below-listed telephone number.

Respectfully submitted,  
Shin TANIKAWA et al.

 Reg. No. 33,329  
Bruce H. Bernstein  
Reg. No. 29,027

April 16, 2004  
GREENBLUM & BERNSTEIN, P.L.C.  
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